

FEB 09 2007



**HAMRE, SCHUMANN,  
MUELLER & LARSON, P.C.**

AN INTERNATIONAL INTELLECTUAL PROPERTY LAW FIRM

FAX TRANSMISSION February 9, 2007

TO: Mail Stop: AMENDMENT  
Examiner: J. WOO  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

FROM: Bryan A. Wong

OUR REF: 20043.0003USD4

TELEPHONE: (612) 455.3800

Total pages, including cover letter: 16

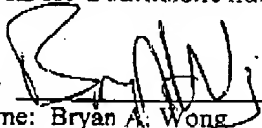
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Title of Document: **Supplemental Information Disclosure Statement;  
Form 1449; Office Action dated January 25, 2007 in  
copending application serial no. 10/105,978**

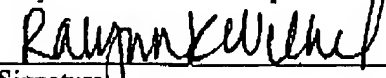
Applicant: Kaplan et al.  
Serial No.: 10/007,364  
App. Filed: November 5, 2001  
Group Art No.: 3731

Please charge \$180 for the Supplemental Information Disclosure Fee and any additional fees or credit overpayment to Deposit Account No. 50-8478. Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate.

By:   
Name: Bryan A. Wong  
Reg. No.: 50,836

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on the date shown below.

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**FEB 09 2007**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kaplan et al. Examiner: J. WOO  
Serial No.: 10/007,364 Group Art Unit: 3731  
Filed: November 5, 2001 Docket: 20043.0003USD4  
Title: METHODS AND APPARATUS FOR TRANSPERICARDIAL LEFT  
ATRIAL APPENDAGE CLOSURE

CERTIFICATE UNDER 37 CFR 1.6(d): I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on February 9, 2007.

By:   
Name: RALYNN WILHELM

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed. Please note that the references on the Form 1449 were cited in an Office Action dated January 25, 2007. A copy is enclosed.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☐ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☒ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or

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- ☐ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND the requisite Statement is below AND the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

### STATEMENT

Applicants hereby state that:

- ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application or by the USPTO in a related application not more than three months prior to the filing date of the Information Disclosure Statement

- ☒ If this box is checked, Applicant provides the following:

#### Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application or by the USPTO in a related application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- ☐ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

Application No.

Filing Date

Group

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

**FEE AUTHORIZATION**

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.



Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &  
LARSON, P.C.

Minneapolis, MN 55402-0902

(612) 455-3800

Dated: February 9, 2007

By: 

Bryan A. Wong  
Reg. No. 50,836

BAW:rkw

**FEB 09 2007**

Date Filed: February 9, 2007

Sheet 1 of 1

<b>FORM 1449*</b> <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number: 20043.3USD4	Application Number: 10/007,364
	Applicant: KAPLAN et al.	
	Filing Date: NOVEMBER 5, 2001	Group Art Unit: 3731

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	US 4,934,340	June 1990	Ebling et al.			
	US 5,144,942	September 1992	Decarie et al.			
	US 5,163,949	November 1992	Bonutti			
	US 5,234,455	August 1993	Mulhollan			

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
		Office Action dated January 25, 2007 in co-pending serial no. 10/105,978.

**52835**

PATENT TRADEMARK OFFICE

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	